

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Masaru MITSUI et al.

Application No.: 09/509,472

Filed: April 21, 2000

For: PHOTOMASK BLANK, PHOTOMASK, METHODS OF MANUFACTURING  
THE SAME AND METHOD OF FORMING MICROPATTERN

ATTN: PCT Branch

Docket No.: 105875

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**  
**UNDER 35 U.S.C 371 IN THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**DECLARATION ALREADY FILED**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C 371 in the United States Designated/Elected Office (DO/EO/US) (copy attached) mailed on May 18, 2000, the executed Declaration of the inventors was filed on April 21, 2000. A copy of the executed Declaration as filed, a copy of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, and a copy of the stamped postcard receipt are attached hereto. The surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)) was also paid on April 21, 2000 with our Check No. 107967 for \$130.00.

Entry of these documents on April 21, 2000 should have completed all of the filing formalities. Accordingly, prompt issuance of a Notification of Acceptance and Filing Receipt, and prompt examination and allowance of this application are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,

James A. Oliff  
Registration No. 27,075

Thomas J. Pardini  
Registration No. 30,411

JAO:TJP/kmc  
Date: June 19, 2000

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

DEPOSIT ACCOUNT USE  
AUTHORIZATION  
Please grant any extension  
necessary for entry;  
Charge any fee due to our  
Deposit Account No. 15-0461

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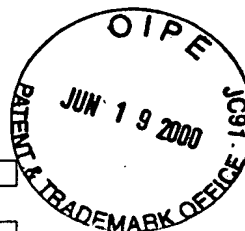
## UNITED STATES DEPARTMENT OF COMMERCE

## Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Box PCT

Washington, D.C. 20231



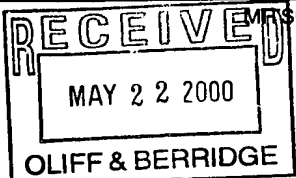
U.S. APPLICATION NO. FIRST NAMED APPLICANT ATTY. DOCKET NO.

09/509472

MRS SUI

M

105875

OLIFF & BERRIDGE  
P O BOX 19928  
ALEXANDRIA, VA 22320

INTERNATIONAL APPLICATION NO.

PCT/JP99/04124

I.A. FILING DATE

PRIORITY DATE

30 JUL 99

31 JUL 98

DATE MAILED:

18 MAY 2000

JUNE 18, 2000  
MISSING PARTS

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☒ a Designated Office (37 CFR 1.494),  
☐ an Elected Office (37 CFR 1.495):
- ☒ U.S. Basic National Fee.
- ☒ Copy of the international application in:
- ☒ a non-English language.  
☐ English.
- ☒ Translation of the international application into English.
- ☐ Oath or Declaration of inventors(s) for DO/EO/US.
- ☐ Copy of Article 19 amendments.
- ☐ Translation of Article 19 amendments into English.
- ☐ The International Preliminary Examination Report in English and its Annexes, if any.
- ☐ Translation of Annexes to the International Preliminary Examination Report into English.
- ☒ Preliminary amendment(s) filed 30 MAR 2000 and
- ☒ Information Disclosure Statement(s) filed 30 MAR 2000 and
- ☐ Assignment document.
- ☐ Power of Attorney and/or Change of Address.
- ☐ Substitute specification filed
- ☐ Verified Statement Claiming Small Entity Status.
- ☒ Priority Document.
- ☒ Copy of the International Search Report ☒ and copies of the references cited therein.
- ☐ Other:

DOCKETED  
By JB on 5/23 2000  
and  
By CRP on 5/23 2000  
Oliff & Berridge

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2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.  
☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.  
☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due. See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☒ 21 OR ☐ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.
5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

***A copy of this notice MUST be returned with this response.***

Enclosed:

☐ PCT/DO/EO/917☐ Notice of Defective Translation☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

Fred Smith

Telephone: 703-305-3654

**PTO RECEIPT FOR FILING OF PAPERS**

**The following papers have been filed:**

PCT Transmittal, #107967, (\$130), exec. Declaration; Assignment Transmittal, #107968, (\$40), exec. Assignment.

**Name of Applicant:** Masaru MITSUI et al.

**Serial No.:** 09/509,472

**Atty. File No.:** 105875

**Title (New Cases):** PHOTOMASK BLANK, PHOTOMASK, METHODS OF MANUFACTURING THE SAME AND METHOD OF FORMING MICROPATTERN

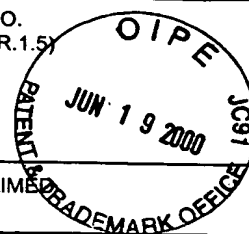
**Sender's Initials:** JAO:JSA/kmc



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**PATENT OFFICE DATE STAMP**

**COPY TO BE STAMPED BY PATENT OFFICE  
AND RETURNED BY MESSENGER**

**TRANSMITTAL LETTER TO THE  
UNITED STATES  
DESIGNATED/ELECTED OFFICE  
(DO/EO/US) CONCERNING A FILING  
UNDER 35 U.S.C. 371**U.S. APPLICATION NO.  
(if known, sec 37 C.F.R.1.5)  
09/509,472INTERNATIONAL APPLICATION NO.  
PCT/JP99/04124INTERNATIONAL FILING DATE  
July 30, 1999PRIORITY DATE CLAIMED  
July 31, 1998TITLE OF INVENTION  
PHOTOMASK BLANK, PHOTOMASK, METHODS OF MANUFACTURING THE SAME AND METHOD OF FORMING  
MICROPATTERNAPPLICANT(S) FOR DO/EO/US  
Masaru MITSUI et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11. to 16. below concern other document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A small entity statement.
16. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37  
C.F.R. 1.5) 09/509,472

INTERNATIONAL APPLICATION NO.  
PCT/JP99/04124

ATTORNEY'S DOCKET NUMBER  
105875

17. ☒ The following fees are submitted:

**Basic National fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO.....\$840.00

International preliminary examination fee paid to USPTO  
(37 CFR 1.482).....\$670.00

No international preliminary examination fee paid to USPTO  
(37 CFR 1.482) but international search fee paid to USPTO  
(37 CFR 1.445(a)(2)).....\$690.00

Neither international preliminary examination fee (37 CFR  
1.482) nor international search fee (37 CFR 1.445(a)(2))  
paid to USPTO.....\$970.00

International preliminary examination fee paid to USPTO  
(37 CFR 1.482) and all claims satisfied provisions of PCT  
Article 33(2)-(4).....\$ 96.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$

Surcharge of \$130.00 for furnishing the oath or declaration later than  
☒ 20 ☐ 30 months from the earliest claimed priority date (37 CFR  
1.492(e)).

\$130.00

Claims	Number Filed	Number Extra	Rate
Total Claims	- 20 =		X \$ 18.00
Independent Claims	- 3 =		X \$ 78.00
Multiple dependent claim(s)(if applicable)			+ \$260.00

\$

\$

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$130.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small  
Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28). -

\$

**SUBTOTAL =**

\$130.00

Processing fee of \$130.00 for furnishing the English translation later  
than ☐ 20 ☐ 30 month from the earliest claimed priority date (37 CFR  
1.492(f)). +

\$

**TOTAL NATIONAL FEE =**

\$130.00

Amount to be  
refunded

\$

Charged

\$

- a. ☒ Check No. 107967 in the amount of \$130.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 15-0461. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

**SEND ALL CORRESPONDENCE TO:**

OLIFF & BERRIDGE, PLC  
P.O. Box 19928  
Alexandria, Virginia 22320

NAME: James A. Oliff  
REGISTRATION NUMBER: 27,075

NAME: Joel S. Armstrong  
REGISTRATION NUMBER: 36,430

JAO:JSA/kmc